AO 120 (Rev. 3/04)

TO: Mail Stop 8 Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450	**REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK**

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court for the District of Columbia on the following ☑ Patents or ☐ Trademarks:

DOCKET NO.	DATE FILED	U.S. DISTRICT COURT
10cv1138	7/6/2010	for the District of Columbia

PLAINTIFF	DEFENDANT
NOVARTIS AG Lichtstrasse 35, CH-4056, Basel Switzerland NOVARTIS VACCINES AND DIAGNOSTICS, INC. 4560 Horton St., Emeryville, CA 94608	DAVID J. KAPPOS P.O. Box 15667 Arlington, VA 22215

	PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1	6,656,957	12/2/2003	NOVARTIS AG
2	6,878,721	4/12/2005	NOVARTIS AG
3	7,098325	8/29/2006	NOVARTIS AG
4	7,112,673	9/26/2006	NOVARTIS AG
5	see attached		

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY ☐ Amendment ☐ Answer ☐ Cross Bill ☐ Other Pleading	
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1		
2		
3		
4		
5		

In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT

12/15/2016 ORDER granting 64 Joint Motion to Remand to the United States Patent and Trademark Office. Signed by Judge Ellen S. Huvelle on December 15, 2016. (AG) (Entered: 12/15/2016)

CLERK	(BY) DEPUTY CLERK	DATE
Angela D. Caesar	/s/ Nicole Wilkens	1/11/2017

Copy 1—Upon initiation of action, mail this copy to Director **Copy 3—Upon termination of action, mail this copy to Director**
Copy 2—Upon filing document adding patent(s), mail this copy to Director **Copy 4—Case file copy**

10cv1138 RJL
NOVARTIS AG, et al v. KAPPOS

Additional Patent Numbers:

Patent No.	Date of Patent	Holder of Patent
7,265,089	9/4/2007	Novartis Vaccines and Diagnostics, Inc.
7,348,353	3/25/2008	NOVARTIS AG
7,423,148	9/9/2008	NOVARTIS AG
7,470,709	12/30/2008	Novartis Vaccines and Diagnostics, Inc.
7,470,792	12/30/2008	NOVARTIS AG
7,534,890	5/19/2009	NOVARTIS AG
7,576,221	8/18/2009	Novartis Vaccines and Diagnostics, Inc.